



# CSBG Strategic Planning Consultants Guide for Indiana Community Action Agencies

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## Overview

This document provides guidance for Indiana Community Action Agencies (CAA) who choose to utilize a Strategic Planning Consultant to assist in preparing their agency's three to five year strategic plan. It is designed so the consultant can navigate the strategic planning process by successfully planning, developing and implementing a CAA's strategic plan. Few agencies have enough comprehensive experience to lead and support a strategic plan without some external guidance. A professional consultant provides the expert guidance to the agency that will allow staff, governing board members, and other community participants to focus on content development. The best way to understand how the planning consultant can assist is to remember that a qualified consultant is a master of the process, but staff are masters of the content.

The consultant's role is to make the process workable. The consultant will facilitate change in the staff, leadership, governing board and key stakeholders so the organization can positively impact the community and the peoples being served. The consultant can also reduce some of the process design workload that would normally fall on staff to complete and provide an impartial mediator to help work through contentious issues.

## Focus of Community Action

There are many aspects of Community Action Agencies (CAAs) that set them apart from other not-for profit organizations. The work of CAAs typically includes varied populations, the delivery of different programs and services, different funding sources, and wide-ranging service areas. CAAs are complex systems of anti-poverty programs and services whereas most nonprofits have a single focus. Unlike most nonprofits, CAAs must have a long-range cohesive plan focused on the single mission of Community Action – to fight poverty.

“The CAA must develop both a long-range strategy and specific, short-range plans for using potential resources.” Furthermore, “in developing its strategy and plans, the CAA shall take into account the areas of greatest community need, the availability of resources, and its own strengths and limitations. It should establish realistic, attainable objectives, consistent with the basic mission.” (OEO 6320-1)

## What is CSBG?

The Community Services Block Grant (CSBG) is federal funding provided through the Office of Community Services, a program of the Administration for Children and Families of the U.S. Department of Health and Human Services. CSBG funding is awarded to states, U.S. Territories, and Tribal governments in accord with the provisions of The Community Services Block Grant Act of 1981 as amended by Section 680(a)(2) of the Community Opportunities, Accountability, and Training and Educational Services Act of 1998 (P.L. 105-285).

CSBG provides funds to alleviate the causes and conditions of poverty in communities. The funds may be utilized to provide a range of services and activities to assist the needs of low-income individuals including the homeless, migrants and the elderly. Grantees receiving CSBG funds are required to provide services and activities addressing employment, education, better use of available income, housing, nutrition, emergency services and/or health.

## Developing a Community Action Strategic Plan

Formulating a strategic plan, or an organizational plan, is one of the most important endeavors an organization can undertake to manage long-term change and growth. Community action professionals emphasize that planning elements anticipate and head off possible challenges, unify individuals, target agency resources, support decision making, establish accountability measures, and ultimately generate energy & confidence.

Typically, consultants work with an organization in developing a strategic plan that is centered on the business and operational aspects of the organization such as the need to raise funds, enhance infrastructure, envisioning to meet needs, or increase marketing & communication. It is important that strategic planning consultants become familiar with the requirements of community action. Beyond the purpose of strategic planning, the plan must also meet the Informational Memorandum (IM) 138 requirements associated with the Community Service Block Grants (CSBG) Comprehensive Administrative Review (CAR) and subsequent state required standards.

As a consultant, you're the facilitator and provide the necessary structure for the CAAs to develop their strategic initiatives. Over the long term, the strategic plan acts as a blueprint for implementing changes that incrementally realize the organization's vision. Consultants often interact with volunteer governing board members, paid leadership and front-line staff, key stakeholders, donors, elected officials, neighborhood groups, community members, and low-income program participants to achieve your objectives. It will take skill and expertise to effectively gather all of their collective knowledge, experiences and background into a unified organizational approach to meeting and elevating the causes and conditions of poverty in the community.

Strategic plans that only project the work the organization already does into the next three to five years do not capitalize on the opportunity the process presents. Ideally, the strategic planning process should incorporate change initiatives through the use of innovative planning. The implementation of new or re-designed programs or service delivery plans can enhance the agency's effectiveness and strengthen organizational capacity into the future. Finally, the strategic plan will be used by the agency as the framework for tactical planning from operating plans through to everyday work.



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## Community Needs Assessment (CNA)

An organization's ability to adapt to a changing landscape is critical to its effectiveness and sustainability. One of the most important documents to use when determining strategic direction is the CNA. CAAs are expected to choose strategic goals and follow a clear plan to achieve desired results. It is essential to explain how the priorities in an agency's strategic plan meet the proven needs in the community. The CNA data and analyses do not dictate the CAA's strategic plan but will inform the planners of their strategic choices. Each agency is required to complete a CNA every three (3) years and should be able to provide documentation of their top community needs. This information is also a requirement of the annual Community Action Plan that is submitted to the state office.

## Results Based Management (RBM) Approach

RBM is a team-based management strategy that contributes directly or indirectly to achieving a set of measurable results. It does so by establishing performance indicators to monitor and assess progress towards achieving the goals and by enhancing accountability of the organization and its members. RBM ensures that the programs, activities, and/or services contribute to the achievement of desired results (outputs, outcomes and higher level goals or impact). The concept of RBM was promulgated by Peter Drucker as Management by Objectives (MBO) and Program Performance Budgeting System (PPBS) in the 1960s and evolved into the use of a logical framework for the public sector in the 1970s. The connection between ROMA (see below) and RBM also started with Peter Drucker. The business model contained in the Drucker Foundation Self-Assessment Workbook along with the work of Reginald Carter are the two management methodologies (management and accountability) that influenced ROMA. It ultimately become a thread through the ROMA modules taught to the community action network.

## Results-Oriented Management and Accountability (ROMA)

ROMA started as "a performance based initiative designed to preserve the anti-poverty focus of community action and to promote greater effectiveness among state and local agencies receiving Community Service Block Grant (CSBG) funds". ROMA is used to support the management of CAAs. The history shows how ROMA evolved and become ingrained in community action:

- In 1993, the Government Performance and Results Act (GPRA) mandated that all federally funded programs be able to establish performance goals and measure results.
- In 1994, the Monitoring and assessment Task Force (MATF) was created to find ways to talk about the work of CAAs. It produced six (6) national goals and identified a performance based management system called ROMA.
- In 2001, Information Memorandum (IM) No. 49 officially adopted ROMA concepts within the context of compliance under GPRA.
- In 2006, the ROMA Cycle was developed to make the directives in IM No. 49 easier to understand and ensure it was used in all aspects of agency operations: assessment, planning, implementation, observation, documentation of results, and evaluation of impact.

Today, ROMA is a system for continuous quality improvement to enable the CAA network to measure analyze, and communicate performance by focusing on improved collection and analysis of data. Ultimately, ROMA's purpose is to assist in generating more robust results that tells the impact of the community action story. Strategic Planning is the second phase of the ROMA cycle.

## Outcomes

Outcomes are the lifeblood of community action. They capture relevant data that will be used to analyze a program, demonstrate the agency's accomplishments, and tell the community action story. Whether it is an overarching goal or a smaller action step, outcomes show the successes achieved as a program participant moves from poverty to self-sufficiency.

Outcomes or results are observable, measurable characteristics or changes during or after participation in a program, activity, or service by accomplishing or achieving a specified objective. Outcomes may happen over time, be a change in status or situation, or a change in direction. They are the focus of the CSBG Annual Report. To effectively capture measurable outcomes they should be set at the beginning and used as a benchmark to measure progress. Outcomes are not something that should be gleaned at the end of a process.

## The Role as a Change Agent

A change agent is someone who enables change to occur within an organization. This is the person who actually begins the change effort. Consultants are often ideal change agents due to the presence of an objective or neutral viewpoint during discussions with persons involved in the process. Facilitation is also helpful because the consultant can balance competing voices to ensure the plan reflects the needs and aspirations of all stakeholders, not just those who can dominate a meeting. The consultant can also challenge the group's interpretation by asking "open-ended" questions or playing devil's advocate to ensure the planning team(s) explore all sides of an issue before determining a course of action. An effective change agent actively encourages individuals to redraw and rethink their mindset. The consultant will help create a new view of what is possible.

Over our lifetime individuals become content with the way things are done. We create our own comfort zone. Agencies likewise develop an organizational culture that suits its comfort level. This may reduce flexibility and a willingness to explore new possibilities. It also alters data analysis by systematically discounting, distorting, or ignoring key information. However, a change agent will guide the organization down new roads by identifying alternative courses of action that can lead to learning and growth. Ultimately, an organization that can master the art of change can adapt to any new circumstances and position themselves for long-term success.



## Scope of Work (SOW)

During the Request for Proposal or bidding phase to hire a consultant, consultants are asked to provide pricing for services. This SOW is designed for consultants to meet the CSBG mandates and to be able to deliver a final product specific for community action. The SOW requirements described below should be factored into consultants' final proposal.

While there are many different stages and/or names that might be used by consultants to design the strategic process, for the purpose of this guide we will use the terminology and structure of ROMA (See Appendix 6), which is unique to community action. Beyond this guide, the consultant can restructure the content below the headings to meet its own system.

Overall, this guide is all about making sure the final product addresses these elements. In some cases, the standards require multiple actions. These have been identified below. Guidance from the CAA national partners may have been used for some standards. In addition, some standards could fit under multiple headings.

### Preparation

The first part of this stage has already been completed because the agency made the decision to hire a consultant to drive the project. Upon being hired, the consultant will work with the agency to determine other participants in the process and potential planning timelines.

### Assessment

Setting an agency's strategic direction is an exercise in data collection and analysis. It is within this step that pertinent information is gathered and analyzed so it can be applied in the other stages of the strategic planning process. The consultant will rely heavily on the agency to gather the relevant information to be used. It is also important to have various groups of stakeholders involved to get a clear understanding of the agency, the environment in which it works to serve the community, as well as its competencies. For example, the mission and vision statements provide the two ends of an analytical view of the organization from which the strategic plan is developed.

Refer to Appendix 3 for a general list of these documents.

#### IM 138 Standard 2.2

Document in the strategic planning process that the agency reviewed available resources to address service gaps or collaboration found in Standard 3.4 (below).

#### IM 138 Standard 3.4

1. Document the review of the Community Needs Assessment (which includes the causes and conditions of poverty) to determine which priority needs the agency will focus on:
  - What are the top community priorities?
  - Do any programs need to be added to address new priorities or service gaps?
  - Do any programs or services need to be discontinued because the community needs have shifted or other community organizations are more focused on those services?



### IM 138 Standard 4.1

1. Document that the governing board reviewed and/or revised the agency mission statement.
2. Document that the governing board ensures all programs/services are in alignment with the agency mission statement and that mission drift has not occurred.

### IM 138 Standard 4.3 (a)

Document the use of Results-Oriented Management and Accountability (ROMA) of assessing, planning, implantation, achievement of results & evaluation. Documenting the SOW stages will meet this standard.

Answer such questions as:

1. Who are we?
2. Who are we helping?
3. What are we helping them become?
4. How will we describe success?

### IM 138 Standard 4.6

Document the analysis of the results of the current (within past two years) agency-wide comprehensive risk assessment and risk management plan to identify any risks that threaten the organization or its operations, services, or programs.

### IM 138 Standard 6.4 (linked to standard 1.2)

Document the review of customer satisfaction data and customer feedback during the development of the plan.

### State CSBG CAR State Standard 5.11

Document that the governing board is fully engaged in the development, implementation and evaluation of the plan from inception to completion.

### IM 138 Standard 9.1

Document review of the demographics of the populations served. Identify if they received single services, multiple services, or bundled services. Consider the connection among people, services, and outcomes.

### State CSBG CAR Standard 16.13

A Strengths, Weakness, Opportunity, and Threats (S.W.O.T) analysis should be used as a best business practice tool.

## **Planning**

Strategic planning is “a systematic process of envisioning a desired future, and translating this vision into broadly defined goals or objectives and a sequence of steps to achieve them.” (BusinessDictionary.com) By starting with the end goals, consultants and CAAs will have a focused process for planning out the activities that will drive results.

### IM 138 Standard 6.1

The plan must look ahead or have a range of three (3) to five (5) years.

### IM 138 Standard 6.2 (a) [\(linked to Standard 4.2\)](#)

1. Plan must address one or more of the following goals:
  - a) Reduction of Poverty
  - b) Revitalization of low-income communities
  - c) Empowerment of people with low-income to be more self-sufficient
2. The plan should clearly link one or more than one of the three objectives and explain how they are addressed (NCAP Technical Assistance Guide Category 6- strategic Planning)
3. All agency programs, services and activities should contribute to at least one (1) strategic initiative. A strategic plan must be composed of goals that directly involve the agency programs, services, and related activities (NCAP Technical Assistance Guide Category 6- strategic Planning)

### IM 138 Standard 6.2 (b)

The plan addresses how the agency will meet the Indiana Code (IC) 12-14-23-9(5& 6) requirement of being a leader in community action within their community by:

1. Encouraging agencies engaged in activities related to the community action program to do the following:
  - A. Plan for, secure, and administer available assistance on a common or cooperative basis
  - B. Provide planning or technical assistance to those agencies
2. In cooperation with community agencies and officials, undertake actions to improve existing efforts to reduce poverty, including the following:
  - A. Improving day-to-day communications.
  - B. Closing service gaps.
  - C. Focusing resources on the most needy.
  - D. Providing additional opportunities to low income individuals (i.e. regular employment)

### IM 138 Standard 6.2 (c)

The plan should have both internal and external goals and not just focus on internal agency/management goals.

### IM 138 Standard 6.3 (a) [\(linked to Standard 9.2\)](#)

The plan must contain Family, Agency, and/or Community level goals. However, there is no requirement that the plan utilizes all three (3) of these, it just may not contain only Agency level goals.

Furthermore, each goal must be designated Family, Agency, and/or Community.

### IM 138 Standard 6.3 (b) [\(linked to Standard 9.2\)](#)

1. The plan must contain measurable (S.M.A.R.T) goals where outcomes can be tracked.
2. Goals must be written as outcomes.

### IM 138 Standard 6.3 (c) [\(linked to Standard 9.4\)](#)

The plan should directly link each of the sub-goals or action items to the CSBG Annual Reports National Performance Indicators (NPIs) (e.g. 1.1)

## **Implementation**

A consultant will not directly be implementing the plan for this stage of the process. The consultant should work with the organization to develop goals and action steps to be placed on the plan in order to create the foundation to guide them during the planning period. The strategic plan must include reasonable and achievable progress goals (breakdown of an overall goal) that span the course of the strategic planning period (i.e. year one, year two and year three). These targets demonstrate the CAA's expectation about its capacity to deliver results.

This breakdown will be used by the organization in several different ways:

- First, it is the information the agency will use when it develops their annual Community Action Plan (CAP) that is submitted to the State (reference IM 138 Standard 4.2).
- Second, the governing board will use the strategic plan to develop several annual performance evaluation goals for the Executive Director that will also be used for their performance evaluation (reference IM 138 Standard 7.4).
- Third, it is the critical information that management will use in developing annual employee performance goals and objectives which will also be used for the employee's annual performance evaluation (reference IM 138 Standard 7.6).

## **Evaluation**

### **IM 138 Standard 4.3 (b)**

Document the services of a ROMA Trainer or Implementer somewhere during the development of the plan.

### **IM 138 Standard 6.1**

The final draft of the strategic plan is submitted to the governing board for approval

## **Results (Progress Action Items)**

All strategic goals must be broken down into sub-goals or action steps that will be used to show progress. Tracking progress ensures the agency is collecting the necessary data for each objective, but data must be analyzed before it can become useful. The consultant usually does not participate when the agency analyzes the data to identify what is working or not working to successfully reach the intended outcome. However, the framework the consultant provides for tracking and documenting progress will be a key tool that they use to be able to do so.

### **IM 138 Standard 6.5 (linked to Standard 9.3)**

Develop a Strategic Planning Scorecard or other method to at least annually update the governing board on planning progress. Minimum details to track progress:

1. Goal or objective
2. Individuals assigned to oversee or complete specific goals
3. Benchmark/Target
4. Frequency (i.e. quarterly)
5. Success Rate Percentage of each goal
6. Year-To-Date (YTD) progress

## Documenting the Process

One of the most vital steps that the consultant needs to take during this process is to document the steps outlined in the SOW. This information demonstrates that the agency has met the required standards. This documentation or description of actions taken could be included as part of the strategic plan or contained in something similar to a strategic planning workbook.

Worksheets are the most common method of demonstrating participation, discussions, interviews, analysis, assessment, evaluation, decisions, and goals. However, other methods may include checklists, notes, charts/graphs/diagrams, studies, etc.:

- Sign-In Sheets
- Planning the Strategic Process (Timeline)
- Required Strategic Plan Actions (Checklist)
- Review of Mission, Vision, and Values (Notes)
- Strength, Weakness, Opportunity, & Threat (SWOT) Analysis (Notes)
- Customer Service Results Analysis (Notes)
- Organizational Impact Study
- Agency Internal Assessment & Evaluation (Programs & Services, Financial, Human Resources, Leadership, Information Technology, Operations, etc.) (Worksheets)
- Community Needs Assessment (CNA) Analysis- top 5 community initiatives (Worksheet)
- Agency Initiatives Addressing CNA Needs (Chart)
- Possible Future Programs or Services (List)
- Strategic Goals and Action Steps (including Family/Agency/Community level Goals) (Diagram)
- Readiness Assessment (Worksheet)

## Appendix 1- Strategic Plan Sample Format

Strategic plans can be organized in many different way and consultants certainly have a preference. Provided is a sample of a community action format.

- I. Executive Summary
  - Compliance Summary (NASCP)
- II. Introduction
  - Scope
  - Organizational Description
  - Participating Participants
- III. Mission and Value Statements
- IV. Current State Assessment
  - Who are we?
  - Where are we now?
  - Summary of Strengths, Weaknesses, Opportunities, Threats and Strategic Issues
  - Summary of Assessment of Internal and External Factors
  - Summary of Other Assessments
- V. Results Based Management
  - Strategic Vision
  - Strategic Goals & Objectives
  - Outcomes
  - Performance Goals and Key Performance Indicators (KPIs)
  - Implementation Timeline
- VI. Future State
  - Critical Success Factors
  - Required Organizational Policy & Procedural Changes
  - Recommendations
- VII. Appendices
  - Resources used in developing the plan
  - Worksheets
  - Scorecard
  - Other

# Appendix 2- CSBG Strategic Planning Resources

## WEBSITES

1. **National Community Action Partnership** (NCAP or The Partnership)  
[www.communityactionpartnership.com](http://www.communityactionpartnership.com)
  - Strategic Planning: Overview and Preparation
  - Strategic Planning: Gathering Data for the Strategic Plan
  - Strategic Planning: Developing an Outcome Based Strategic Plan
2. **National Association For State Community Services Programs** (NASCSPP)  
[www.nascsp.org](http://www.nascsp.org)
  - CSBG Annual Report
  - CSBG Annual Report Lexicon
  - CSBG Annual Report/IS Survey organizational Standards Crosswalk
  - Module 3: Community Initiatives
  - Module 4: Individual and Family NPIs
  - FAQ: Collecting, Storing, Analyzing and Using data
3. **Results Oriented Management and Accountability** (ROMA)  
[www.roma-nptp.org](http://www.roma-nptp.org)
  - ROMA Cycle
  - Introduction to ROMA Participants Manual
4. **Office of Community Services** (OCS)  
<http://www.acf.hhs.gov/programs/ocs/resource/csb-g-information-memoranda>
  - Community Opportunities, Accountability, and Training and Educational Services act of 1998
  - IM No. 49: Results-orientated Management and Accountability (ROMA)
  - IM No. 82: Tripartite Boards
  - IM No. 138: State Establishment of Organizational Standards for CSBG Eligible Entities
5. **Indiana Housing and Community Development Authority** (Partnership Portal)  
[www.ihcda.in.gov](http://www.ihcda.in.gov)
  - IHODA CSBG Comprehensive Administrative Review (CAR) Tool
  - Annual Community Action Plan
6. **State of Indiana**  
[www.in.gov](http://www.in.gov)
  - Indiana Code (IC) 12-14-23, Community Action Agencies
7. **CSBG Training and Technical Assistance Resource Center**  
[www.csbgtta.org](http://www.csbgtta.org)
8. **Virtual CAP**  
[www.virtualcap.org](http://www.virtualcap.org)

## **BOOKS and MANUALS**

1. Richmond, F., & Mooney, B. (2012). *Introduction to Results-Oriented Management and Accountability (ROMA)*. The Center for Applied Management Practices.
2. Peter Drucker, (2008). *The Five Most Important Questions You Will Ever Ask About Your Organization*. Leader to Leader Institute; San Francisco: Jossey-Bass.
3. Reginald Carter, (1983). *The Accountable Agency*. Beverly Hills, Calif.: Sage Publications

## **REFERENCE MATERIALS**

1. Indiana Community Needs Assessment Impact Guide by the Sagamore Institute, 2018
2. California Community Action Partnership Association, A Comprehensive Guide to Community Action Strategic Planning, March 2016
3. Texas Department of Housing and Community Affairs, Strategic Planning Guide for Texas Community Action Agencies, June 1, 2015
4. Illinois Association of Community Action Agencies, The Strategic Planning Toolkit



## Appendix 3- CSBG Requirements for Strategic Planning

In 2015, U.S. Health and Human Services (HHS) issued **Information Memorandum No. 138** establishing Community Services Block Grant (CSBG) Organizational Standards. The following requirements are directly or indirectly related to strategic planning:

Standard	Description
1.2	The organization analyzes information collected directly from low-income individuals as part of the community assessment.
1.3	The organization has a systematic approach for collecting, analyzing, and reporting customer satisfaction data to the governing board.
2.2	The organization utilizes information gathered from key sectors of the community in assessing needs and resources, during the community assessment process or other times. These sectors would include at minimum: community-based organizations, faith-based organizations, private sector, public sector, and educational institutions.
3.4	The community assessment includes key findings on the causes and conditions of poverty and the needs of the communities assessed.
4.1	The governing board has reviewed the organization's mission statement within the past 5 years and assured that: 1. The mission addresses poverty; and 2. The organization's programs and services are in alignment with the mission.
4.2	The organization's Community Action plan is outcome-based, anti-poverty focused, and ties directly to the community assessment.
4.3	The organization's Community Action plan and strategic plan document the continuous use of the full Results Oriented Management and Accountability (ROMA) cycle or comparable system (assessment, planning, implementation, achievement of results, and evaluation). In addition, the organization documents having used the services of a ROMA-certified trainer (or equivalent) to assist in implementation.
4.6	An organization-wide, comprehensive risk assessment has been completed within the past 2 years and reported to the governing board.
6.1	The organization has an agency-wide strategic plan in place that has been approved by the governing board within the past 5 years.
6.2	The approved strategic plan addresses reduction of poverty, revitalization of low-income communities, and/or empowerment of people with low incomes to become more self-sufficient.
6.3	The approved strategic plan contains family, agency, and/or community goals.
6.4	Customer satisfaction data and customer input, collected as part of the community assessment, is included in the strategic planning process.
6.5	The governing board has received an update(s) on progress meeting the goals of the strategic plan within the past 12 months.
7.4	The governing board conducts a performance appraisal of the CEO/executive director within each calendar year.
7.6	The organization has a policy in place for regular written evaluation of employees by their supervisors.
9.1	The organization has a system or systems in place to track and report client demographics and services customers receive.

9.2	The organization has a system or systems in place to track family, agency, and/or community outcomes.
9.3	The organization has presented to the governing board for review or action, at least within the past 12 months, an analysis of the agency's outcomes and any operational or strategic program adjustments and improvements identified as necessary
9.4	The organization submits its annual CSBG Information Survey data report and it reflects client demographics and organization-wide outcomes.

State of Indiana CSBG CAR State Standards. The following are directly or indirectly related to strategic planning:

4.7	Organization develops a Revenue Diversification Plan during the monitoring period and the plan is reviewed by the governing board.
5.11	The tripartite governing board is fully engaged in the development, planning, implementation, and evaluation of the organization to serve low-income communities.
15.9	The organization tracks multiple years of information indicating trends related to agency success, customer satisfaction and community needs.
16.1	The organization utilizes a formal process or method to annually gather information from low-income individuals.
16.13	In preparation for the strategic planning process, the organization performed a Strength, Weakness, Opportunity and Threats (SWOT) analysis of the agency and its current programs.
16.20	Final comprehensive reports are annually generated for each program.

## Appendix 4- Strategic Planning Documents

There are core agency reports and documents that comprise the foundational information that should be used throughout the planning process. Suggested items include:

### **Governing Board**

- Agency mission, vision and value statements
- Governing board roster
- Governing board committee structure
- Governing board self-evaluations results

### **Operations**

- Current CSBG Community Action Plan
- Local Community Action Theory of Change
- National Community Action Theory of Change
- Current Community Needs Assessment (Community Action & Head Start, if applicable)
- Customer Satisfaction Data results
- Agency staff survey results
- Comprehensive agency-wide risk assessment
- Organizational chart
- Staffing Skills Log
- Stakeholders/community partnership lists (internal and external)
- Strength, Weakness, Opportunity and Threat (SWOT) Analysis
- Interrelationship Digraph

### **Programmatic**

- Comprehensive agency programs, services and activities list
- Most recent agency program monitoring reports (CSBG, Head Start, Wx, EAP, etc.)
- Enrollment Data
- Waiting Lists (agency and partners)
- Reports of outputs and outcomes from all agency programs and services

### **Financial**

- Revenue Diversification Plan (Funding Sources)
- Current Agency-wide budget
- Current Financial reports and audits
- Financial projections for the planning period
- Fundraising results

### **Planning**

- Existing strategic plan
- Most current strategic plan scorecard or dashboard

## Appendix 5- Mission/Vision/Value Statement Questions

### **Mission**

The foundation of any strategic plan is the mission statement. This statement, in concise language, why the organization exists and what it trying to achieve.

- What is our purpose?
- Why are we in business?
- What results are we trying to achieve?
- What population(s) are we committed to serving?
- Is this population our primary customers?
- Are our core programs or primary services aligned to this?
  - Has there been mission drift?
- Are these programs and services that we are known for?
- What are the primary needs of the communities we serve?
- Is it clear what the desired results, outcomes or impacts of our efforts are?
- Does it state the goals we want to achieve for the individual and/or families we serve?
- Does it identify the relationships that help us further our mission?

### **Vision**

A vision statement is a clear description of what the organization intends to become within a certain timeframe. It benefits the planning process by providing everyone with the same vision of the future.

- Does it describe our reason for existence?
- Does it describe what we want to be as an agency in the future?
- Does it describe how our community and/or agency would look if we accomplished our mission?
- What will success look like for us?
- Does it present an inspiring view of the future?
- Is it brief and easy to communicate?
- Is it shared by members of the community?
- Does it shift the organizations focus from service to outcomes?

### **Values**

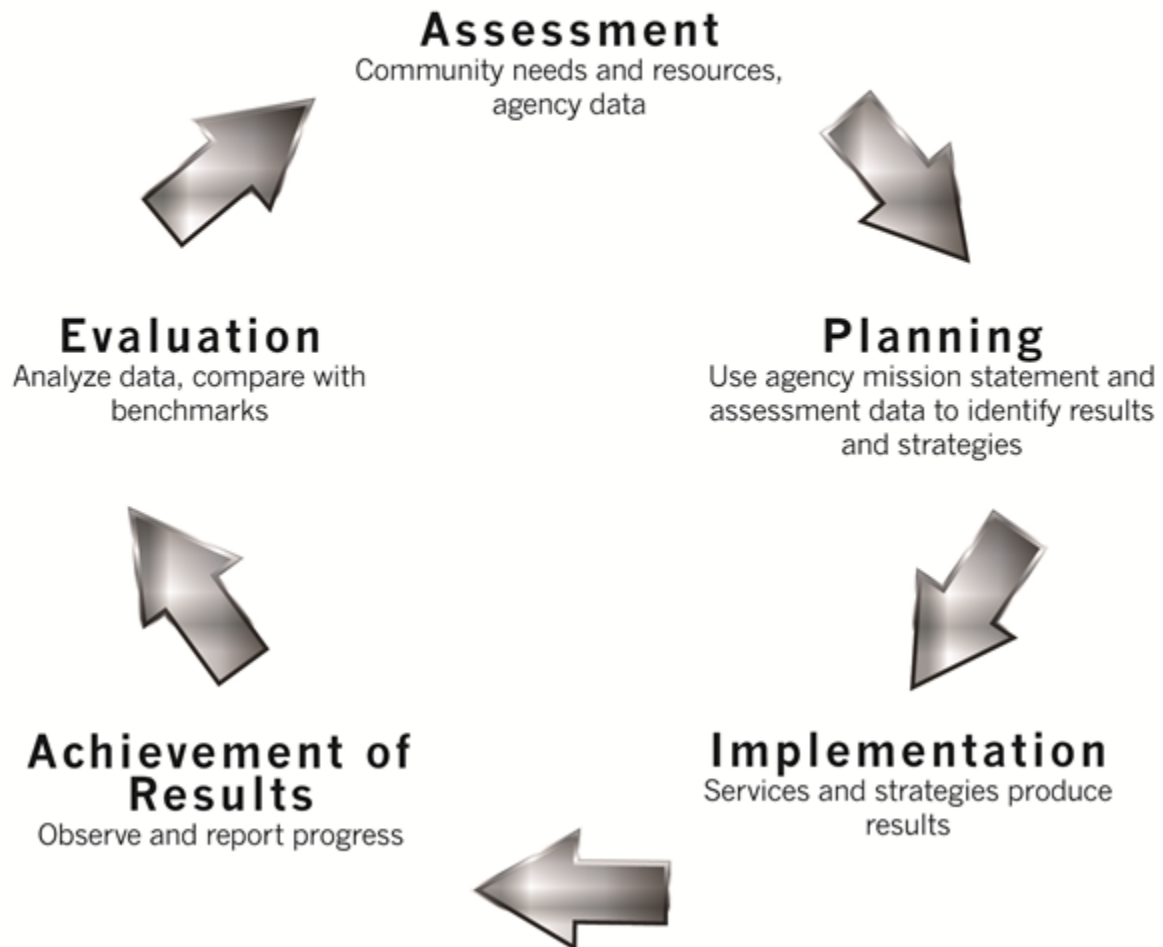
Values explain what the organization stands for and the way in which it intends to conduct its activities. In some cases, the values are so important that the agency has programs and assessment measures to support and sustain them as key elements.

- What do we believe in as an agency?
- What core values guide our work?
- Do they tell people how we are different from other organizations?
- How do we believe we should treat others?
- How do we want to be treated ourselves?
- What do we value about our clients?
- What are our attitudes and values about our performance?

## Appendix 6- ROMA Cycle

### The Results Oriented Management and Accountability Cycle

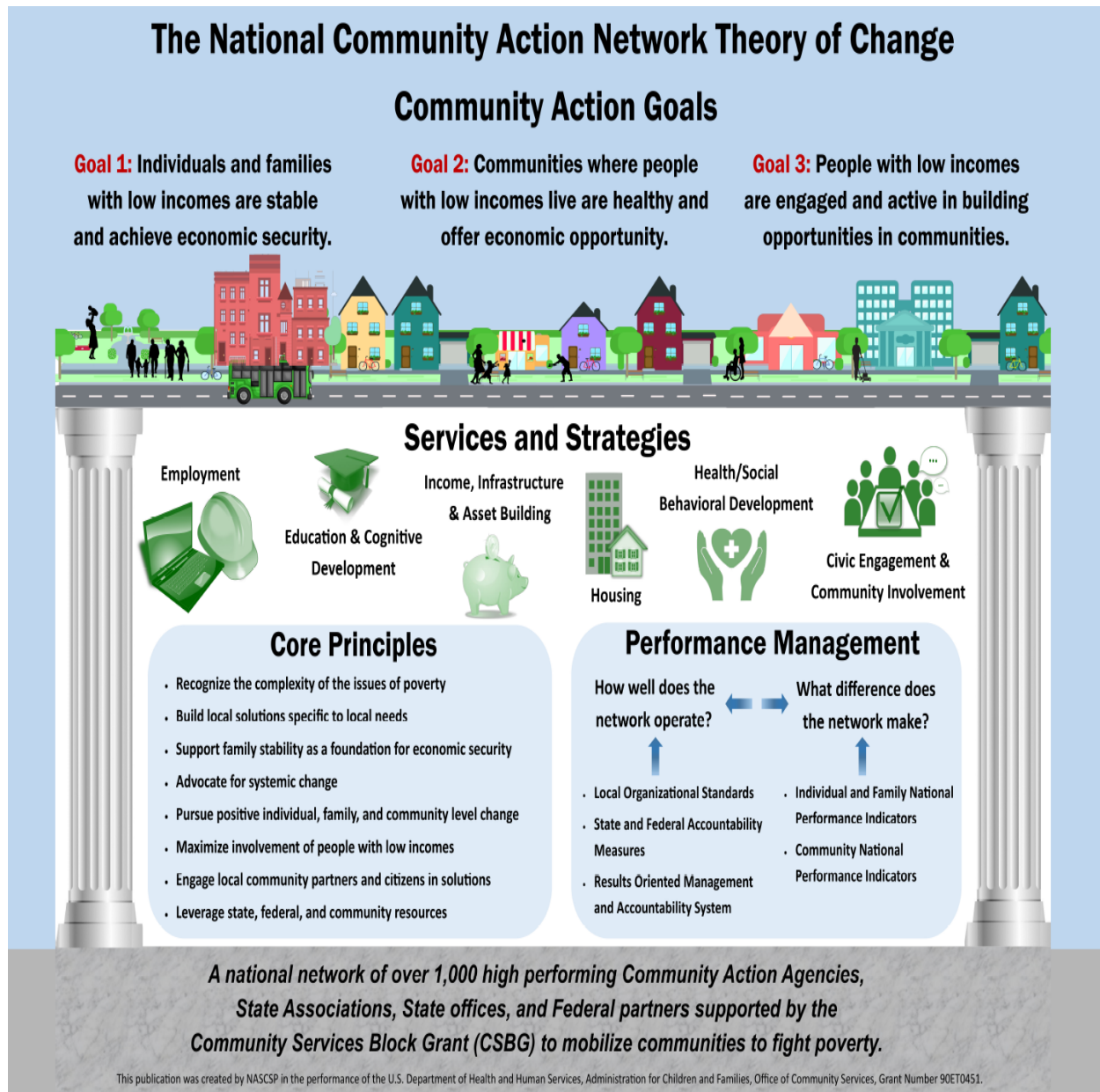
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The “ROMA Cycle” graphic was developed by the National Peer to Peer (NPtP) ROMA Training Project, based on guidance regarding Core Activities for States and CSBG Eligible Entities provided by OCS Information Memo 49.

From Planning for Results © 2006, J. Jakopic and B. Mooney, Community Action Association of PA.

## Appendix 7- National CAA Theory of Change



## Appendix 8- S.M.A.R.T. Goals Template

Crafting S.M.A.R.T. Goals are designed to help you identify if what you want to achieve is realistic and determine a deadline. When writing S.M.A.R.T. Goals use concise language, but include relevant information. These are designed to help you succeed, so be positive when answering the questions.

**Initial Goal** *(Write the goal you have in mind):*

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**1. Specific** *(What do you want to accomplish? Who needs to be included? When do you want to do this? Why is this a goal?)*

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**2. Measurable** *(How can you measure progress and know if you've successfully met your goal?):*

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**3. Achievable** *(Do you have the skills required to achieve the goal? If not, can you obtain them? What is the motivation for this goal? Is the amount of effort required on par with what the goal will achieve?):*

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**4. Relevant** *(Why am I setting this goal now? Is it aligned with overall objectives?):*

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**5. Time-bound** *(What's the deadline and is it realistic?):*

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**S.M.A.R.T. Goal** *(Review what you have written, and craft a new goal statement based on what the answers to the questions above have revealed):*

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